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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	8449-317-999	Total Pages	189
	First Named Inventor or Application Identifier			
	SRIVASTAVA			
	Express Mail Label No.	EV 335 856 600 US		

<b>APPLICATION ELEMENTS</b> <i>See MPEP chapters 600 concerning utility patent application contents.</i>	<b>Commissioner for Patents</b> <b>P.O. Box 1450</b> <b>Mail Stop PATENT APPLICATION</b> <b>Alexandria, VA 22313-1450</b>
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1. ☒ Fee Transmittal Form  
*(Submit an original, and a duplicate for fee processing)*
2. ☒ Applicant claims Small Entity status, see 37 C.F.R. § 1.27
3. ☒ Specification [Total Pages 73 pages + Abstract ]  
*(preferred arrangement set forth below, MPEP 1503.01)*
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description of the Invention (including drawings, if filed)
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Informal Drawings (35 USC 113) [Total Sheets 5 ]
5. ☒ Oath or Declaration [Total Sheets 2 ]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 18 completed)*
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

#### ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
*(when there is an assignee)*
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment (21 pages) with Exhibits A-D (80 pages)
14. ☒ Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15. ☐ Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(i). Applicant must attach form PTO/SB/35 or it's equivalent
17. ☒ Other: Declaration Under 37 C.F.R. 1.68 and M.P.E.P 608.01(p) (2 pages).

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/090,754 filed June 4, 1998, which is a continuation of application No. 08/527,391 filed September 13, 1995.

Prior application information: Examiner: Geetha Bansal Group Art Unit: 1642

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

#### 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number 20583 <i>Insert Customer No. or Attach bar code label here</i>		<input type="checkbox"/> Correspondence address below	
NAME			
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CITY	STATE	ZIP CODE	
COUNTRY	TELEPHONE	FAX	

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Prior application: Examiner Geetha Bansal  
 Art Unit 1642

Commissioner for Patents  
 P.O. Box 1450  
 Mail Stop PATENT APPLICATION  
 Alexandria, VA 22313-1450

Sir:

This is a request for filing a ☒ continuation ☐ divisional application under 37 CFR § 1.53(b), of pending prior application no. 09/090,754 filed on June 4, 1998, which is a continuation of application no. 08/527,391, filed September 13, 1993.

of SRIVASTAVA

(inventor(s) currently of record in prior application)

COMPOSITIONS AND METHODS FOR THE PREVENTION AND TREATMENT OF PRIMARY AND METASTATIC NEOPLASTIC DISEASES AND INFECTIOUS DISEASES WITH HEAT SHOCK/STRESS PROTEINS

(title of invention)

1. ☒ The filing fee is calculated below, in view of the preliminary amendment submitted herewith:

**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	17	- 20	0	\$18.00 each	\$ 0.00
Independent	2	- 3	0	\$84.00 each	\$ 0.00
Minimum Fee					\$ 750.00
Multiple Dependency Fee If Applicable (\$280.00)					\$ 0.00
<b>Total</b>					\$ 750.00
Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					\$ 375.00
<b>Total Filing Fee</b>					\$ 375.00

2. ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.
3. ☒ Amend the specification by inserting before the first line the following paragraph: This application is a continuation of application Serial No. 09/090,754, filed June 4, 1998, which is a continuation of application Serial No. 08/527,391, filed September 13, 1995, which issued November 17, 1998, as U.S. Patent No. 5,837,251, each of which is hereby incorporated by reference in its entirety.
- 4a. ☐ New formal drawings are enclosed.

PENNIE & EDMONDS LLP DOCKET NO 8449-317-999

- 4b. ☒ Informal drawings are enclosed.
- 5a. ☐ Priority of application no. filed on in is claimed under 35 U.S.C. §119.
- 5b. ☐ The certified copy has been filed in prior application no. , filed .
6. ☒ The prior application is assigned of record to Fordham University.
- 7a. ☒ A copy of the Power of Attorney filed in the prior applications no. 09/090,054, filed June 4, 1998, and application no. 08/527,391, filed September 13, 1995, is enclosed.
- 7b. ☐ A Power of Attorney is enclosed.
8. ☐ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no., filed on be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. is enclosed.
9. ☐ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. is the same as the content of the computer readable form submitted in application no. .
10. ☐ DO NOT PUBLISH. I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
11. ☒ Additional enclosures or instruction Preliminary Amendment with Exhibits A-D; Declaration under 37 C.F.R.1.68 AND M.P.E.P. 608.01(p).

Date August 12, 2003

Respectfully submitted,  
*Samuel B. Abrams Reg No 30605*

BY: *Michael J. Ryan Reg No 41283*

Samuel B. Abrams

PENNIE & EDMONDS LLP

1155 Avenue of the Americas

New York, New York 10036-2711

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(Reg. No.)